

EJ and CBTP Grants:

Quarterly Reporting and Invoicing

January.07.2010

9:30-11:00 am



Agenda

- Introductions
- Today's Objectives
- Quarterly Reports
- Invoicing
- Resources
- Q and A

Welcome and Introductions

- Understand **reporting** and how the information is used by others
- Understand **invoicing** and how the information is used by others

Objectives

- New Format
 - Two sections:
 - Progress Report Form and
 - Financial Report Form
- Why the New Format
 - Easier to Fill out
 - Concise Information
 - Clean and Easy to Use

Quarterly Reports

**Community-Based Transportation Planning & Environmental Justice
District Quarterly Performance Report**

PLEASE NOTE: Forms should be completed by District staff only and not by the grantee(s)

Grant Summary Information

District:	<input type="text" value="4"/>	Reporting Period Year:	<input type="text" value="08/09"/>	Qtr:	<input type="text" value="4"/>
Contract #:	<input type="text" value="074A1234"/>	Grant Cycle FY:	<input type="text" value="2008/09"/>		
Contract End Date:	<input type="text" value="2/28/2011"/>	Grant Type (CBTP/EJ):	<input type="text" value="CBTP"/>		
District Planner/Contract Manager: (name/phone)	<input type="text" value="Jack Straw / 415-345-4452"/>				
Grant Title:	<input type="text" value="Shoreline Complete Street Improvements"/>				
Grant Recipient:	<input type="text" value="City of Mountain View"/>				

Performance Information

Task # and Description	Percent Complete	Planned Completion Date (Month/Year)	Actual Completion Date (Month/Year)
Task 1.1: Meet with Caltrans	100	08/09	08/09
Task 1.2: Prepare RFP	100	09/09	09/09
Task 2.1: Kick-Off Meeting	100	10/09	11/09
Task 3.1: Evaluation of Existing Materials	75	11/09	
Task 3.2: Develop Outreach Plan	50	12/09	
Task 3.3:			
Task 4.1:			
Task 5.1:			

**To be complete
by the district**

Narrative Information

Quarterly Reports: Progress Report

- Key Points of Progress Report
 - Contract Information should be correct and never change
 - Contact Information of the person who filled out the form
 - Task Descriptions Match the Project Timeline and Scope of Work
 - Percentages
 - Planned vs. Actual Dates
 - Narrative Section

Quarterly Reports: Progress Report

PLEASE NOTE: Forms should be completed by District staff only and not by the grantee(s)

District:	4	Reporting Period Year:	08/09	Qtr:	4
Contract #:	074A1234	Grant Cycle FY:	2008/09		
Contract End Date:	2/28/2011	Grant Type (CBTP / EJ):	CBTP		
District Planner/Contract Manager: (name/phone)	Jack Straw / 415-345-4452				
Grant Title:	Shoreline Complete Street Improvements				
Grant Recipient:	City of Mountain View				

[illegible]

Grant Amount:	\$ 250,000.00	Local Match Amount:	\$ 25,000.00
Amount Invoiced:	\$ 29,250.00	Amount Invoiced:	\$ 3,250.00
Current Balance:	\$ 220,750.00	Current Balance:	\$ 21,750.00

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- Key Points of Financial Form
 - Contract Information
 - Contact Information of those who filled out the form
 - Invoice Submissions
 - Match
 - Current Balances

Quarterly Reports: Financial Report

- Report Submission

- HQ Contact

- Districts 1,2,3 to Mary Lea Filbert
 - Districts 4,5 to Russ Walker
 - Districts 6,7 to Jorge Rivas
 - Districts 8, 9, 10, 11, 12 to Josh Pulverman

- 2010 Due Dates to HQ

- January 19 (Tuesday)
 - April 15 (Thursday)
 - July 15 (Thursday)
 - October 18 (Monday)

Quarterly Reports

- Quarterly Reports are Important
 - Provide a snapshot of the project
 - Provide information of the project's progression
 - Presents possible schedule problems
 - Allows for communication between HQ and Districts
 - HQ staff gathers the information and presents it to Caltrans Management

Quarterly Reports

- Staff Summary

FY 00-01 SAMPLE STUDY FOR THE CITY-Terminates 2/28/2010		
Grant Amount	Invoiced	Balance Remaining
General Comments:		
Funding Information:		
Scope of Work:		
Narrative Section:		

Quarterly Reports: Staff Summary

- Use Quarterly Reports and Project Management Principles to Measure Project Performance
- Applicable Project Management Metrics
 - Earned Value (EV)
 - The value of work performed expressed in terms of the approved budget.
 - Planned Value (PV)
 - The authorized budget assigned to the scheduled work to be accomplished.
 - Schedule Variance (SV)
 - A measure of schedule performance of a project.
 - Schedule Performance Index (SPI)
 - A measure of schedule efficiency on a project.

Quarterly Reports: Project Performance Reporting

#	Tasks	Grant Amount	Total Duration	Planned To-Date Duration	Actual Percent Complete	Planned Percent Complete	Earned Value (EV)	Planned Value (PV)	Schedule Variance (SV)	Schedule Performance Index (SPI)
1	Project Planning and Coordination	\$25,000	10 Months	8 Months	75%	80%	\$18,750	\$20,000	-\$1,250	94%
2	Publicity and Outreach	\$10,000	9 Months	7 Months	75%	78%	\$7,500	\$7,777	-\$278	96%
3	Charrette Events	\$60,000	7 Months	5 Months	75%	71%	\$45,000	\$42,857	\$2,143	105%
4	Report and Follow-up	\$35,000	12 Months	2 Months	25%	17%	\$8,750	\$5,833	\$2,917	150%
5	Project Management	\$3,500	24 Months	8 Months	25%	33%	\$875	\$1,166	-\$292	75%
6	Final Product to Caltrans	\$3,500	1 Month	0 Months	0%	0%	\$ --	\$ --	N/A	N/A
		\$137,000			45%	57%	\$80,875	\$77,634	\$3,240	104%

Quarterly Reports: Project Performance Report Sample Project

District	Project Title	Grant Applicant	Grant Amount	Actual Percent Invoiced	Planned Percent Invoiced/ Complete	Actual Percent Complete	Schedule Performance
X	Project A	Valley COG	\$250,000	17%	69%	10%	Severely Behind
Y	Project B	City of Greatness	\$57,150	0%	48%	38%	Slightly Behind
Z	Project C	County of Vastness	\$137,000	11%	57%	45%	On Schedule
			\$137,000	13%	62%		

Grant Program Performance Report

- Good Contract Management Tool
- Good Communication Tool for Caltrans Management
- Meets DPAC's Contract Management Requirements
- Meets the Department's Strategic Goal on Stewardship

Quarterly Reports: Why is Performance Reporting Important?

- Invoice Packet
 - Receiving Record
 - Invoice
 - Documentation
- When to Invoice

Invoicing: Overview

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
RECEIVING RECORD
 FA-1226A (REV 6/2004)

You can save data typed into this form for later editing, unless you click on the Lock Data Button.

Lock Data on Form

PLEASE CHECK ONE: ☐ CDPO ☒ **CONTRACT** ☐ GSPO ☐ OTHER _____ PAGE NO. _____ OF _____

VENDOR NAME _____ RECEIVED BY (Please Print) _____ DATE RECEIVED ____/____/____ SPECIAL INSTRUCTIONS: ☐ DISCOUNT ☐ EXPEDITE

PREPARED BY (Please Print) Ed Philpot PHONE NUMBER () _____ DATE PREPARED ____/____/____ APPROVED BY (Signature) _____ PHONE NUMBER () _____

SERVICE CONTRACT NUMBER _____ PURCHASE ORDER NUMBER _____ VENDOR NUMBER _____ CURRENT DOCUMENT NO. _____

DESCRIPTION/COMMENTS	T C	Q	SOURCE		CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F A	AGCY	OBJ	AMOUNT	REV	FFY	C	REFERENCE	SUF
			DIST	UNIT													
			INVOICE NUMBER				DOCUMENT DATE	SUBSIDIARY ACT		MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S	

DESCRIPTION/COMMENTS	T C	Q	SOURCE		CHG	EXPENDITURE	SUBJOB	SPECIAL DESIGNATION	F A	AGCY	OBJ	AMOUNT	REV	FFY	C	REFERENCE	SUF
			DIST	UNIT													
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			DIST	UNIT													
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ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-69, Sacramento, CA 95814.

Invoicing: Receiving Record



City of Maze
P.O. Box 8686
Tail Light, CA. 47817
(878) 659-3896

TO: Caltrans
1120 N Street
Sacramento, CA. 95814

Invoice Date: 10/01/2009
Contract Number: 74A1010
Dates of Service: 7/01/09 - 9/01/09

Attention: Ed Philpot
Project Title: Making our commute faster and safer

TASK #	DESCRIPTION	CONSULTANT	IN-KIND 20% MATCH	AMOUNT
1	Specify 4-D Formulation	2,593.28	700.00	3,293.28
2	Estimate Local Input Variables	756.00	419.72	1,175.72
3	Support 4-d Post Processor			
TOTALS:		3,349.28	1,119.72	4,469.00

FTA AMOUNT:	\$84,657.00	Match Required	\$15,623.00
Previously Billed	\$0.00	Match previously Billed	\$0.00
Current Amount Due:	\$4,469.00	Match Currently Billed	\$1,119.72
Contract Balance:	\$80,188.00	Match Balance Remaining	\$14,503.28



Invoicing: Invoice

- The California Prompt Payment Act of 1999 requires paying an invoice within **45 calendar days**: (Penalties are paid by the district).
- 15 calendar days total for the district and DOTP.
15 calendar days for the Division of Accounting.
15 calendar days for State Controller's Office.
45 calendar days total.

Invoicing: Prompt Payment

- Invoice Dispute Notification Form (Std Form 209)
 - This will “stop the clock” for the prompt payment timeline and must be done within **15 working days** from receipt of invoice.

Invoicing: Invoice Dispute

STATE OF CALIFORNIA

INVOICE DISPUTE NOTIFICATION

Std. 209

PC/LAN (dispute rev. 2/1996)

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(Mail in a window envelope)

**VENDOR
ADDRESS**

(fold)

The invoice referenced above is disputed for the following reasons:

- | | |
|---|--|
| <input type="checkbox"/> Goods/Services not received | <input type="checkbox"/> Duplicate billing |
| <input type="checkbox"/> Noncompliance with contract | <input type="checkbox"/> Invoice belongs to another department |
| <input type="checkbox"/> Incorrect billing/amount due | <input type="checkbox"/> Damaged goods |
| <input type="checkbox"/> Partial shipment received | <input type="checkbox"/> Invoice not properly executed |
| <input type="checkbox"/> Other | |

THIS NOTIFICATION IS A FOLLOWUP TO A PHONE CONVERSATION WITH THE PERSON FROM YOUR COMPANY WHOSE NAME APPEARS BELOW:

NAME

DATE OF CONVERSATION

IF YOU HAVE ANY QUESTIONS REGARDING THIS DISPUTE, CONTACT:

NAME

TELEPHONE (Include Area Code)

(916) 227-

(fold)

FOR STATE AGENCY USE ONLY

DATE DISPUTE RESOLVED

INITIAL

RESOLUTION

RETURN COPY OF THIS NOTIFICATION

WITH THE CORRECTED INVOICE

(For your convenience, the return address has been provided for use in a window envelope.)

**RETURN
TO:**

Department of Transportation
Accounting
P.O. Box 168018
Sacramento, CA 95816
Attention:

DISTRIBUTION:
First - Vendor
Second - Accounting

Invoicing: Invoice Dispute

- Invoice for eligible reimbursable expenses
- Grantees are expected to submit a request for reimbursement as milestones are completed.
- A single, one-time, **lump-sum invoice for the entire grant is strongly discouraged.**
- Sample letters for Invoicing Adherence in the Intranet Toolbox

Invoicing: When to invoice

- Invoice Submission
 - Contract Manager (District) reviews and submits to
 - Resource Management Branch (RMB),
 - Jodi Lehmkuhl
jodi_lehmkuhl@dot.ca.gov
916-653-3896
- RMB Prepares Detailed Reports
- Intranet Toolbox
 - Needed Forms

Invoicing: Resources

- New Forms for Reporting
 - Progress Report
 - Financial Report
- Invoice on Milestones

Closing Key Points: Reporting and Invoicing

- Toolbox
 - Intranet
(http://onramp.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html)
 - Internet
(http://www.dot.ca.gov/hq/tpp/offices/ocp/ej_cbtp_toolbox.html)
- EJ and CBTP Handbook
 - For everyone involved with grants to use.
- Grant Workshop Tools
 - <http://onramp.dot.ca.gov/hq/tpp/workshop.html>
- Service Contract Automated Tracking System (SCATS)
 - <http://onramp.dot.ca.gov/hq/accounting/scats/main.htm>

More information: Resources

- Report Submission

- HQ Contact

- Districts 1,2,3 to **Mary Lea Filbert**
 - (916) 653-9966
 - Districts 4,5 to **Russ Walker**
 - (916) 651-6886
 - Districts 6,7 to **Jorge Rivas**
 - (916) 653-6236
 - Districts 8, 9, 10, 11, 12 to **Josh Pulverman**
 - (916) 653-0808

- 2010 Due Dates to HQ

- January 19 (Tuesday)
 - April 15 (Thursday)
 - July 15 (Thursday)
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Quarterly Reports

Thank You!

Closing: Q & A